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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/976,848

Filing Date 10/12/2001

First Named Inventor Patrick A. Verta

Group Art Unit 2171

Examiner Name Not Assigned

Total Number of Pages in This Submission

Attorney Docket Number HDN-101

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ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interference
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

Copies of Cited References

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Dr. Ron Jacobs, Reg. No. 50,142

Signature

Date

6/19/02

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 6/19/02

Typed or printed name

Jacqueline Guerro

Signature

Jacqueline Guerro

Date

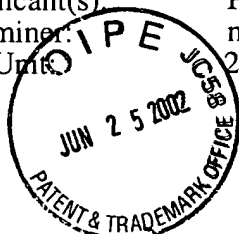
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In the United States Patent and Trademark Office

Application No.: 09/976,848
 Filed: 10/12/2001
 Title: Data Capture and Management System
 Applicant(s): Patrick A. Verta
 Examiner: not yet assigned
 Art Unit: 2171

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Mailed 6/19/02
 Santa Clara, CA

Information Disclosure Statement

Commissioner of Patents and Trademarks
 Washington, District of Columbia 20231

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon. It is requested that the document(s) on the enclosed form be made of record.

Part I (Authority)

This statement is filed pursuant to:

☒ 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

☐ 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$240), or a certification according to 37 C.F.R. § 1.97(e).

☐ 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$130), a certification according to 37 C.F.R. § 1.97(e), and a petition requesting consideration of the information disclosure statement.

Conditional Petition

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

Part II (Payment)

A check is enclosed as indicated:

- ☒ (X) No fee is due.
- ☐ () The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$240).
- ☐ () The petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$130).

Part III (Certification)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ (X) No certification is necessary.
- ☐ () (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
- ☐ () The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
- ☐ () The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ☐ () (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Part IV (Additional Statement)

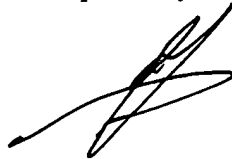
An additional statement regarding these items of information () is, (X) is not, enclosed.

Copies of the cited art (X) are enclosed, () are of record in parent application Serial No. _____ and will be provided if the Examiner deems it convenient.

Dated:

6/19/02

Respectfully submitted,



Dr. Ron Jacobs
Reg. No. 50,142
45 Cabot Ave., Suite 110
Santa Clara, CA 95051
tel: (408) 260-7300
fax: (408) 260-7301

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE										ATTY. DOCKET NO. HDN-101		SERIAL NO. 09/976,848	
LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary)										APPLICANT Patrick A. Verta			
										FILING DATE 10/12/2001		GROUP 2171	
U.S. PATENT DOCUMENTS													
		DOCUMENT NUMBER							DATE	NAME	RELEVANT INFORMATION		
	A	4	7	8	1	8	9	1	11/1/88	Galle et al.	422/64		
	B	4	8	4	4	8	8	7	7/4/89	Galle et al.	422/65		
	C	5	6	6	8	9	9	7	9/16/97	Lynch-Freshner et al.	395/683		
	D	5	6	8	2	5	3	2	10/28/97	Remington et al.	395/683		
	E	5	6	8	4	9	8	4	11/4/97	Jones et al.	395/610		
	F	5	7	1	0	9	1	8	1/20/98	Lagarde et al.	395/610		
	G	5	7	2	1	9	1	1	2/24/98	Ha et al.	395/611		
	H	5	7	4	0	2	3	1	4/14/98	Cohn et al.	379/89		
	I	5	7	6	1	6	6	3	6/2/98	Lagarde et al.	707/10		
	J	5	7	6	1	6	7	7	6/2/98	Senator et al.	707/203		
	K	5	7	6	1	6	7	8	6/2/98	Bendert et al.	707/204		
	L	5	7	8	1	7	0	3	7/14/98	Desai et al.	707/204		
	M	5	9	3	0	7	9	9	7/27/99	Tamano et al.	707/102		
	N	5	8	4	8	2	4	3	12/8/98	Kulkarni et al.	395/200.54		
	O	5	8	3	3	5	9	9	11/10/98	Schrier et al.	600/300		
	P	6	0	7	0	1	9	0	5/30/00	Reps et al.	709/224		
	Q	6	0	8	8	7	1	7	7/11/00	Reed et al.	709/201		
	R	6	1	4	1	6	9	9	10/31/00	Luzzie et al.	709/331		
	S	4	6	3	4	5	7	6	1/6/87	Galle et al.	422/102		
	T	5	8	6	2	3	2	5	1/19/99	Reed et al.	395/200.31		
FOREIGN PATENT DOCUMENTS													
		2-letter code	DOCUMENT NUMBER						DATE	COUNTRY	TRANSLATION		
											YES	NO	
	I												
	J												
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)													
	K		Haske, C.R. "An Integrated Clinical Data Management System in SAS," 1996, p. 1217-22										
			Joshi, M. "Design of Experiments (DOE) in the Semiconductor Industry," 1991, pp. 17-24										
	L		Chausmer, A.B., "Clinical Study Data Acquisition for New Drug Trials Using Microcomputers," 1982, p. 647										
	M												

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EXAMINER		DATE CONSIDERED	
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			